

OCT 5 2011

MEMORANDUM

SUBJECT: Screening Arrangement Pursuant to My Ethics Obligations

FROM: Janet McCabe *JMC*
Principal Deputy Assistant Administrator

TO: Gina McCarthy
Assistant Administrator

This memorandum provides you with written notification of the screening arrangement I have implemented to ensure that I comply with my obligation to recuse myself from certain matters with which I have a financial interest, or a personal or business relationship.

My spouse is currently a partner in a law firm, so I understand that I have an imputed financial conflict of interest with that firm. Unless I first obtain a written waiver pursuant to 18 U.S.C. § 208(b)(1), I will disqualify myself from participating personally and substantially in any particular matter that would have a direct and predictable effect on the financial interests on his firm, whether or not he himself represents a client. In addition, I understand that I am restricted by the ethics pledge I signed from participating in particular matter involving specific parties in which any of the following entities is a party or represents a party. Set forth below is a chart detailing my ethical obligations:

Name of Entity	Date when recusal ends under My Ethics Obligations
Baker and Daniels, LLP	continues for duration of spouse's employment with this entity
Improving Kids Environment	November 8, 2011
Indiana University	November 8, 2011

In order to help ensure that I do not participate in matters relating to the entity listed above, I have taken or will take the following steps:

1. I will be vigilant in screening EPA matters directed to my attention to determine whether any of the entities listed above are participating.
2. If I identify a particular matter involves these entities, directly or indirectly, then I will immediately refer it to Jim Jones for action or assignment, without any involvement by me.

3. I will provide the immediate office staff with a copy of this memorandum so that they can assist me to ensure that I do not inadvertently participate in matters from which I am recused.
4. If the staff member determines that a matter involves these entities, directly or indirectly, then he or she will refer them to Jim Jones for action or assignment, without my knowledge or involvement.
5. I will also provide a copy of this memorandum to my principal subordinates and instruct them that all inquiries and comments involving the entities listed above should be directed to Jim Jones without my knowledge or involvement.
6. In consultation with the Office of General Counsel's Ethics Office, I will revise and update my ethics agreement and/or this memorandum whenever is warranted by changed circumstances, including changes in my financial interests, my personal or business relationships, or the nature of my official duties.
7. In the event of any changes to this screening arrangement, I will provide a copy of the revised screening arrangement memorandum to you, OGC/Ethics, Jim Jones, and any principal subordinates.

cc: Jim Jones, Deputy Assistant Administrator and Deputy Ethics Official -
Joe Goffman, Senior Counsel to the Assistant Administrator -
Don Zinger, Chief of Staff -
Scott Monroe, Assistant Deputy Ethics Official -
Justina Fugh, Senior Counsel for Ethics

Ms. Brenda Mallory
Designated Agency Ethics Official
U.S. EPA (2310A)
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Dear Ms. Mallory:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Administrator of the United States Environmental Protection Agency.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

I understand that as an appointee I must continue to abide by the Ethics Pledge (Exec. Order No. 13490) that I previously signed and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this and any other ethics agreement.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with other ethics agreements of Presidential nominees who file public financial disclosure reports.

Sincerely yours,



Regina McCarthy



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
Washington, D.C. 20460

OFFICE OF
GENERAL COUNSEL

The Honorable Walter M. Schaub, Jr.
U.S. Office of Government Ethics
Suite 500
1201 New York Avenue, NW
Washington, D.C. 20005-3919

Dear Mr. Schaub:

As required by 5 C.F.R. § 2634.605(c), I have reviewed the Public Financial Disclosure Report (OGE 278) submitted by Ms. Regina McCarthy in connection with her nomination to be the Administrator of the U.S. Environmental Protection Agency.

Ms. McCarthy's letter to me describes her proposed ethics agreement and the steps that she will take if confirmed as EPA Administrator. She will not participate personally and substantially in any particular matter that has a direct and predictable effect on his financial interests or those of any person whose interests are imputed to her, unless she obtains a waiver under 18 U.S.C. § 208(b)(1) or qualifies for a regulatory exemption under § 208(b)(2).

If she relies on a *de minimis* exemption under 5 C.F.R § 2640.202 with regard to any of her financial interests, she will monitor the value of those interests. If the aggregate value of interests affected by a particular matter increases and exceeds the *de minimis* threshold, she will not participate in the particular matter, unless she first obtains a written waiver under 18 U.S.C. § 208(b)(1).

I therefore determine that Ms. McCarthy's ethics agreement and financial disclosure report disclose no likely conflict of interest under applicable statutes and regulations. Accordingly, I have signed and dated the enclosed report. A statement of the organization and functions of the Agency are enclosed. Please call Justina Fugh, Senior Counsel for Ethics, at (202) 564-1786 if you have any questions.

Sincerely,

A handwritten signature in blue ink, appearing to read "Brenda Mallory".

Brenda Mallory
Designated Agency Ethics Official

Enclosures



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

MAR 17 2009

OFFICE OF
GENERAL COUNSEL

The Honorable Robert I. Cusick, Director
U.S. Office of Government Ethics
Suite 500
1201 New York Avenue, NW
Washington, D.C. 20005-3919

Dear Mr. Cusick:

As required by 5 C.F.R. 2634.605(c), I have reviewed the Public Financial Disclosure Report (SF 278) submitted by Regina McCarthy in connection with her nomination to be the Assistant Administrator for Air and Radiation of the U.S. Environmental Protection Agency.

Ms. McCarthy's letter to me describes her proposed ethics agreement and the steps that she will take if confirmed as Assistant Administrator. She will not participate personally and substantially in any particular matter that has a direct and predictable effect on her financial interests or those of any person whose interests are imputed to her, unless she obtains a waiver under 18 U.S.C. § 208(b)(1) or qualifies for a regulatory exemption under § 208(b)(2).

If confirmed, she will resign from her position as Commissioner of the Department of Environmental Protection for the State of Connecticut. For one year after her resignation, she will not participate personally and substantially in any particular matter in which the Department of Environmental Protection for the State of Connecticut is a party or represents a party, unless she is authorized to participate pursuant to 5 C.F.R. § 2635.502(d).

If confirmed, she will also resign her positions as Chair of the Board of Directors of The Climate Registry, and also as Member of the Board of Directors of the Regional Greenhouse Gas Initiative, Inc. For one year after her resignations, she will not participate personally and substantially in any particular matter in which these entities are a party or represent a party, unless she is authorized to participate pursuant to 5 C.F.R. § 2635.502(d).

MAR 16 2009

Ms. Patricia K. Hirsch
Designated Agency Ethics Official
U.S. EPA (2310A)
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Dear Ms. Hirsch:

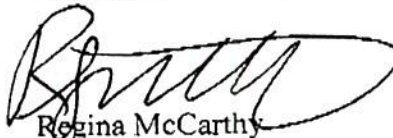
The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Assistant Administrator for Air and Radiation of the United States Environmental Protection Agency.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Upon confirmation, I will resign my positions as Chair of the Board of Directors of The Climate Registry and also as Member of the Board of Directors of the Regional Greenhouse Gas Initiative, Inc. For a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which that entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

In addition, upon confirmation, I will resign from my position as Commissioner of the Department of Environmental Protection for the State of Connecticut. For a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which the Department of Environmental Protection for the State of Connecticut, is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Sincerely,



Regina McCarthy



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

SEP 17 2009

OFFICE OF
GENERAL COUNSEL

MEMORANDUM

SUBJECT: Impartiality Determination – Final Rule Revising the Ozone National Ambient Air Quality Standards

FROM: Patricia K. Hirsch *Patricia K. Hirsch*
Designated Agency Ethics Official
and Principal Deputy General Counsel

TO: Gina McCarthy
Assistant Administrator for Air and Radiation

Your staff has asked whether you may participate in a particular matter that involves your former state employer. I understand that in October 2008, the Agency received a petition pursuant to Clean Water Act Section 319(g) petition asking it to convene an Interstate Management Conference of all states contributing significant nonpoint source mercury pollution to the Petitioning States waters. Eleven States were named as contributing to mercury deposition in the petitioning states. The petition stated that the goal of the conference would be to meet water standards through the implementation of EPA's MACT limits. The petition was signed by the Commissioner of all seven states including you in your capacity as the Commissioner of Connecticut. Although this situation arises under the Clean Water Act, you wish to know whether it would be possible for you to participate in the conference if it takes place and if invited to do so by the Office of Water, as you expect may occur.

As you know, you have a "covered relationship" with the State of Connecticut pursuant to 5 C.F.R. § 2635.502(b)(iv) and have agreed to take appropriate steps to avoid an appearance of a loss of impartiality in the performance of your official EPA duties that pertain to particular matters involving specific parties. Government-wide ethics regulations permit federal officials to participate in matters that might raise impartiality concerns when the interest of the federal government in the employee's participation outweighs concern that a reasonable person may question the "integrity of the agency's programs and operations." 5 C.F.R. § 2635.502(d). These factors are:

- (1) the nature of the relationship involved;
- (2) the effect that resolution of the matter will have upon the financial interest of the person affected in the relationship;
- (3) the nature and importance of the employee's role in the matter, including the extent to which the employee is called upon to exercise discretion in the matter;
- (4) the sensitivity of the matter;
- (5) the difficulty of reassigning the matter to another employee; and
- (6) the adjustments that may be made in the employee's duties that would reduce or eliminate the likelihood that a reasonable person would question the employee's impartiality.

I have carefully considered the six factors that are listed in 5 C.F.R. § 2635.502(d). I have considered the fact that this particular matter involves not just the State of Connecticut but other states as well, and that it involves a regional issue that is not limited in application to Connecticut alone. After reviewing all the factors, I conclude that the interest of the United States Government in your participation in this particular matter would outweigh any concerns about her impartiality. Given the numbers of parties participating in this matter and the broad impact of the regulations at issue, I also conclude a reasonable person would have very little concern over the integrity of EPA actions in light of any prior involvement by you on behalf of Connecticut. Therefore, you may participate in discussions and meetings, even though the State of Connecticut is a named petitioner.

In accordance with your ethics agreement, you should not participate in any other particular matter that involves the State of Connecticut unless and until you first consult with the Office of General Counsel and obtain a written determination such as this one pursuant to 5 C.F.R. § 2635.502(d).

Please feel free to contact me or Justina Fugh, Senior Counsel for Ethics, if you have any further questions. I can be reached at hirsch.pat@epa.gov or (202) 564-5462; Justina can be reached at fugh.justina@epa.gov or at (202) 564-1786.




UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

NOV 30 2009

OFFICE OF
GENERAL COUNSEL

MEMORANDUM

SUBJECT: Impartiality Determination – Participation in Meetings with The Climate Registry

FROM: Patricia K. Hirsch 
Designated Agency Ethics Official
and Principal Deputy General Counsel

TO: Regina McCarthy
Assistant Administrator for Air and Radiation

This memorandum addresses your ethics obligations with respect to The Climate Registry and it also issues you an impartiality authorization pursuant to C.F.R. § 2635.502(d) to allow you to participate in particular matters involving specific parties where The Climate Registry is a party or represents a party. Prior to joining EPA, you were the Commissioner of Connecticut's Department of Environmental Protection. As part of your responsibilities as the state environmental official, you served on the The Climate Registry's (TCR) board of directors, most recently as its Board Chair. This was an uncompensated position and upon your resignation, you ceased having any financial obligations to the organization. TCR is a non-profit collaboration that sets consistent and transparent standards to calculate, verify and publicly report greenhouse gas emissions into a single registry. Its board of directors is made up of the heads of most state environmental agencies, in addition to Mexican states, Canadian provinces and territories and Native Sovereign Nations (www.theclimateregistry.org).

Under President Obama's Ethics Pledge, which you signed upon your appointment, political appointees are prohibited from participating in specific party matters in which their "former employer" or "former client" is a party. The definition of "former employer" *excludes* state government employment, but *includes* uncompensated service on non-profit boards. To determine whether or not TCR met the definition of "former employer" under the Ethics Pledge, OGC/Ethics conferred with the Office of Government Ethics and the White House Counsel's Office. We determined that your TCR service directly resulted from your state employment and, like your state government employment, TCR would be excluded from the definition of "former employer." Therefore, the Ethics Pledge does not apply to your TCR service.

As the Obama Ethics Pledge is not triggered, the next framework under which OGC/Ethics analyzes your ethics obligations is under the **impartiality rules**. As you know, you have a "covered relationship" with TCR pursuant to 5 C.F.R. § 2635.502(b)(iv). Under this one-year cooling-off provision, employees should not participate personally and substantially in particular matters involving specific parties when their "covered relationship" is or represents a party to those matters and the circumstances would cause a reasonable person with knowledge of the relevant facts to question their impartiality. Employees must be mindful to take appropriate steps to avoid an appearance of a loss of impartiality in the performance of their official EPA duties.

Federal ethics regulations permit federal officials to participate in matters that might raise impartiality concerns when the interest of the federal government in the employee's participation outweighs concern over the questioning of the "integrity of the agency's programs and operations." 5 C.F.R. § 2635.502(d). The factors that we can take into consideration are:

- 1) the nature of the relationship involved;
- 2) the effect that resolution of the matter will have upon the financial interest of the person affected in the relationship;
- 3) the nature and importance of the employee's role in the matter, including the extent to which the employee is called upon to exercise discretion in the matter;
- 4) the sensitivity of the matter;
- 5) the difficulty of reassigning the matter to another employee; and
- 6) the adjustments that may be made in the employee's duties that would reduce or eliminate the likelihood that a reasonable person would question the employee's impartiality.

I have carefully considered the six factors that are listed in 5 C.F.R. § 2635.502(d). I have considered the fact that the particular matters in which TCR is interested are necessarily national in scope. Furthermore, the specific party matter at issue includes a number of parties and the regulation at hand will have a broad impact. After reviewing all the factors, I conclude that the interest of the United States Government in your participation in particular matters in which TCR may participate as a specific party would outweigh any concerns about your impartiality. Therefore, you may participate in discussions and meetings with TCR.

Please feel free to contact me or Justina Fugh, Senior Counsel for Ethics, if you have any further questions. I can be reached at hirsch.pat@epa.gov or (202) 564-5462; Justina can be reached at fugh.justina@epa.gov or at (202) 564-1786.



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

JUN - 9 2009

OFFICE OF
AIR AND RADIATION

MEMORANDUM

SUBJECT: Recusal Statement

FROM: Gina McCarthy 
Assistant Administrator

TO: OAR Deputy Assistant Administrator
OAR Office Directors
OAR Chief of Staff

This memorandum sets forth my ethical obligations pursuant to the federal conflicts of interest statutes, the Standards of Ethical Conduct for Employees of the Executive Branch, Executive Order 13490, and the ethics pledge that I have signed. I ask that you review it carefully to assist me in ensuring that I do not participate inadvertently in any particular matter that is covered by this recusal statement. I will update this recusal statement periodically as circumstances warrant.

Financial conflicts of interest recusal

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any other person whose interests are imputed to me unless I first obtain a written waiver pursuant to § 208(b)(1), or qualify for a regulatory exemption pursuant to § 208(b)(2). I understand that the interests of the following persons are imputed to me: my spouse, minor children, or any general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

Impartiality recusal

As required by 5 C.F.R. § 2635.502, I will not participate personally and substantially in any particular matter involving any of the following entities as specific parties, or in which they

represent a party, until after the date specified below, unless I first inform the ethics lawyers in the Office of General Counsel of the appearance problem and receive the appropriate authorization to participate in advance:

NAME OF ENTITY	DATE WHEN RECUSAL ENDS
The Department of Environmental Protection for the State of Connecticut	June 2, 2010
The Climate Registry	June 2, 2011
Regional Greenhouse Gas Initiative	June 2, 2011

Matters covered by this recusal are to be referred to the OAR Deputy Assistant Administrator. I ask that you take all appropriate steps to ensure that you are familiar with this recusal statement to ensure that I do not participate in any matter covered by this recusal statement.

cc: Administrator
 Acting Deputy Administrator
 Assistant Administrators
 Acting Assistant Administrators
 Acting Associate Administrators
 Acting General Counsel
 Acting Inspector General
 Acting Regional Administrators
 Regional Counsels
 Ray Spears, Deputy Chief of Staff
 Patricia Hirsch, Designated Agency Ethics Official
 Justina Fugh, Senior Counsel for Ethics



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

DEC 7 2009

MEMORANDUM

OFFICE OF
AIR AND RADIATION

SUBJECT: REVISED Screening Arrangement Pursuant to My Ethics Obligations

FROM: Gina McCarthy
Assistant Administrator

TO: Administrator
Acting Deputy Administrator
OAR Principal Deputy Assistant Administrator
OAR Deputy Assistant Administrator
OAR Office Directors

This memorandum provides you with written notification of the screening arrangement I have implemented to ensure that I comply with my obligation to recuse myself from certain matters with which I have a financial interest, or a personal or business relationship. These recusal obligations are set forth in my Ethics Agreement I executed on March 16, 2009 prior to my confirmation as the Assistant Administrator for Air and Radiation at the United States Environmental Protection Agency. This screening arrangement supersedes the recusal statement I issued on June 9, 2009 (copy attached).

Unless I am authorized to participate by the Office of General Counsel (OGC), I am disqualified from participating in any particular matter involving specific parties in which any of the following entities is a party or represents a party:

Name of Entity	Date when recusal ends under the President's Ethics Pledge	Date when recusal ends under My Ethics Agreement
State of Connecticut	not applicable	June 2, 2010
The Climate Registry	not applicable	June 2, 2010
Regional Greenhouse Gas Initiative	not applicable	June 2, 2010

In order to help ensure that I do not participate in matters relating to any of the entities listed above, I have taken or will take the following steps:

1. I have instructed Don Zinger, OAR's Chief of Staff, to screen all EPA matters directed to my attention that involve outside entities or that require my participation, to determine if they involve any of the entities or organizations listed above.

2. If Don Zinger, OAR's Chief of Staff determines that a matter involves any of these entities or organizations, directly or indirectly, then he will refer them to Janet McCabe, OAR's Principal Deputy Assistant Administrator for action or assignment, without my knowledge or involvement.
3. I have provided all of you and OAR's Chief of Staff and Counsel a copy of this memorandum so that everyone may fully understand the purpose and scope of my recusal obligations and this screening arrangement. In order to help ensure that I do not inadvertently participate in matters from which I am recused, I am directing Don Zinger, OAR's Chief of Staff to the assistance of the Office of General Counsel's Ethics Office if he is ever uncertain whether or not I may participate in a matter.
4. I will provide a copy of this memorandum to my principal subordinates. I will also instruct my principal subordinates that all inquiries and comments involving any of the entities listed above should be directed to Don Zinger, OAR's Chief of Staff, without my knowledge or involvement.
5. In consultation with OGC/Ethics, I will revise and update my ethics agreement and/or this memorandum whenever is warranted by changed circumstances, including changes in my financial interests, my personal or business relationships, or the nature of my official duties.
6. In the event of any changes to this screening arrangement, I will provide a copy of the revised screening arrangement memorandum to you, OGC/Ethics, Don Zinger, OAR's Chief of Staff, and Janet McCabe and my principal subordinates.

Attachment

cc: Patricia K. Hirsch, Designated Agency Ethics Official
Justina Fugh, Senior Counsel for Ethics
Don Zinger
Joseph Goffman



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION 8

1595 Wynkoop Street
DENVER, CO 80202-1129
Phone 800-227-8917
<http://www.epa.gov/region08>

Ref: 8RC

JAN 28 2015

MEMORANDUM

SUBJECT: My Ethics Obligations - Recusal and Screening Arrangement

FROM: Shaun L. McGrath
Regional Administrator

TO: Gwendolyn Keyes Fleming
Chief of Staff

Through this Memorandum, I am updating my ethics screening arrangement to reflect current recusal obligations and to include current management personnel involved in the screening process. This memorandum provides you with written notification regarding my ethics obligations. I have conferred with regional and headquarters ethics counsel and understand that I must recuse myself from matters in which I have a financial interest, or a personal or business relationship.

I have ethics obligations with respect to my former employers: Wheelhouse Associates; Shaun McGrath, LLC; and American Solar Energy Society. I have been advised and I understand that the restrictions of the President's Ethics Pledge regarding "former employers" do in fact include these entities. With regard to my volunteer activities, I have been advised to resign from the Boulder Clean Energy Business Coalition and the Wirth Chair Sustainability Series, which I have done.

Unless I am authorized to participate by the Office of General Counsel (OGC), I am disqualified from participating in any particular matter involving specific parties in which any of the following entities is a party or represents a party:

Name of Entity	Date when recusal ends under My Ethics Obligations
Wheelhouse Associates	May 19, 2015
Shaun McGrath LLC	May 19, 2015
American Solar Energy Society	May 19, 2015
Boulder Clean Energy Business Coalition	May 19, 2015

In addition, though I am not required by ethics laws or regulations to do so, I have decided to recuse myself from any participation related to the Richardson Flat Superfund Site in Park City, Utah. I formerly represented Park City back to the United States on that site and to avoid even the appearance of any loss of impartiality, I have voluntarily decided not to participate in that specific party matter. I may, however, otherwise participate in other matters related to Park City.

In order to help ensure that I do not participate in matters relating to any of the entities listed in the chart, I have taken or will take the following steps:

1. I will provide the Deputy Regional Administrator with a copy of this memorandum so that she may fully understand the purpose and scope of my recusal obligations and this screening arrangement. In order to help ensure that I do not inadvertently participate in matters from which I am recused, I am directing the Deputy Regional Administrator to seek the assistance of the Office of Regional Counsel (ORC) and/or the OGC Ethics Office if she is ever uncertain whether or not I may participate in a matter.
2. I will provide a copy of this memorandum to my principal subordinates. I will also instruct my principal subordinates that all inquiries and comments involving any of the entities listed above should be directed to the Deputy Regional Administrator without my knowledge or involvement.
3. In consultation with OGC/Ethics and the Office of Regional Counsel, I will revise and update this memorandum whenever warranted by changed circumstances, including changes in my financial interests, my personal or business relationships, or the nature of my official duties.
4. In the event of any changes to this screening arrangement, I will provide a copy of the revised screening arrangement memorandum to you, OGC/Ethics, ORC, the Deputy Regional Administrator, and any principal subordinates.

cc: Justina Fugh, Senior Counsel for Ethics
Deb Thomas, Deputy Regional Administrator, Region 8
Joan Card, Senior Policy Advisor, Region 8
Suzanne Bohan, Acting Assistant Regional Administrator, ECEJ, Region 8
Martin Hestmark, Assistant Regional Administrator, EPR, Region 8
Callie Videtich, Acting Assistant Regional Administrator, OPRA, Region 8
Richard Buhl, Assistant Regional Administrator, TMS, Region 8
Paula Smith, Director, OCPI, Region 8
Julie Dalsoglio, Montana Office, Region 8
Bob Ward, Regional Counsel, Region 8
Paul Logan, Deputy Regional Counsel, Region 8
Michael Gleason, Regional Ethics Counsel, Region 8
Betsy Varcoe, Staff Assistant, Region 8



Fugh, Justina

From: Fugh, Justina
Sent: Monday, March 16, 2015 12:00 PM
To: McLerran, Dennis
Subject: confirmation of discussion last week

Hi there,

Last week, we talked about the fact that your wife was recently promoted to a supervisory position in the Washington State Attorney General's office. Congratulations to her! Though she now supervisory authority over other attorneys in her organizational unit, her client will continue to be the University of Washington. As explained in the 4/27/10 impartiality determination (see below), you are permitted to work on matters involving the State of Washington as well as the AG's office, but must be recused from participation in any specific party matter that involves your spouse personally or the University of Washington. Your spouse's new position does not alter your current recusal status. Thanks very much for asking!

Justina



Executed
McLerran Impar...

Justina Fugh | Senior Counsel for Ethics | Office of General Counsel | US EPA | Mail Code 2311A | Room 4308 North, William Jefferson Clinton Federal Building | Washington, DC 20460 (for ground deliveries, use 20004 for the zip code) | phone 202-564-1786 | fax 202-564-1772



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

OFFICE OF
GENERAL COUNSEL

APR 27 2010

MEMORANDUM

SUBJECT: Ethics Impartiality Determination

FROM: Brenda Mallory *Brenda Mallory*
Designated Agency Ethics Official
and Principal Deputy General Counsel

TO: Dennis McLerran
Regional Administrator
Region 10

This memorandum addresses your ethics obligations with respect to your spouse's employer and issues you a limited impartiality authorization pursuant to 5 C.F.R. § 2635.502(d) given your spouse's employment. Your spouse is a senior counsel in the University of Washington Division of the Washington State Office of the Attorney General. Among her duties, she represents the intercollegiate athletics department, and she is also the primary construction lawyer for the university.

Pursuant to 5 C.F.R. § 2635.502(b)(iii), you have a "covered relationship" with the State of Washington given your spouse's employment. Because her office is a component of the state government, your covered relationship extends to the entirety of Washington State government. Absent an impartiality determination, you would not be permitted to participate in particular matters involving specific parties where Washington State is a party or represents a party when a reasonable person with knowledge of the relevant facts would question your impartiality. Typically, specific party matters involve proceedings affecting the legal rights of the parties and isolatable transactions or a related set of transactions between identified parties such as specific contracts, grants, licenses, enforcement actions, administrative adjudications, or court cases.

For matters that might raise impartiality concerns, Federal ethics regulations permit employees to participate in these matters when the interest of the Federal government in their participation outweighs the concern over the questioning of the "integrity of the agency's

programs and operations.” 5 C.F.R. § 2635.502(d). The factors that we can take into consideration are:

- 1) the nature of the relationship involved;
- 2) the effect that resolution of the matter will have upon the financial interest of the person affected in the relationship;
- 3) the nature and importance of the employee’s role in the matter, including the extent to which the employee is called upon to exercise discretion in the matter;
- 4) the sensitivity of the matter;
- 5) the difficulty of reassigning the matter to another employee; and
- 6) the adjustments that may be made in the employee’s duties that would reduce or eliminate the likelihood that a reasonable person would question the employee’s impartiality.

I have carefully considered the six factors that are listed in 5 C.F.R. § 2635.502(d) as follows:

- Washington State is one of the four states in your region and a substantial area of responsibility for you as Regional Administrator;
- The intersection between your spouse’s work and that of the Agency is remote because:
 - Your spouse’s primary client is the University of Washington;
 - Your spouse has not had nor does she expect to have contact with EPA or Region 10. To the best of your knowledge, she has never been involved in litigation on environmental issues with EPA and does not anticipate such involvement in the future;
 - The only environmental work she has done is to advise clients occasionally about compliance with state and federal laws regarding asbestos or other waste disposal; and;
- The divisions within the Office of the Attorney General are distinct and separate. For example:
 - Your spouse works in the University of Washington Division while most, if not all, Region 10 interaction is with the Ecology Division;
 - The Ecology Division is housed in a different office and city; and
 - The common management chain between the two divisions is four levels removed and does not overlap until reaching the Chief Deputy who works directly for the Attorney General.

Based upon this information, I conclude that you may participate in specific party matters involving the State of Washington generally, even if the Office of the Attorney General is

involved. This memo authorizes your participation with the following caveats. You must continue to recuse yourself from participation in specific party matters if:

- a) your spouse is a party or represents a party before EPA or Region 10;
- b) your spouse's client, the University of Washington, is a party or represents a party before EPA or Region 10; or
- c) your spouse's employer, the Office of the Attorney General, is specifically representing the University of Washington before EPA or Region 10.

Your disqualification is required in these instances unless you receive written authorization from my office or your regional counsel. When the above parties are involved in matters, your ethics official will reconsider the factors and information listed above on a case-by-case basis along with additional relevant details before determining whether to authorize your participation.

To illustrate this determination, you may participate in enforcement actions in which Washington State is a party so long as the University of Washington is not a party to the matter. You may participate in a speaking engagement at the invitation of the Washington State Department of Ecology. And you may participate in grants awarded to the State under the parameters of this memorandum.

In the event that one of the parties enumerated above becomes involved in a matter before you, then you will have to recuse yourself immediately from participating in the matter unless and until you are authorized to participate by your regional counsel or by my office. For example, if the University of Washington asks you to speak at an event, you cannot accept the invitation unless you are first authorized to do so pursuant to 5 C.F.R. § 2635.502(d) by your regional counsel or by my office.

While we have issued you this determination allowing you to participate in a wide range of matters involving the State of Washington and its Attorney General's Office despite your spouse's employment there, there may be matters within that permissible range involving the State or the State's Office of the Attorney General that your better judgment might counsel you to avoid because of a lingering appearance of impropriety. Nothing in this impartiality determination should preclude you from choosing to recuse yourself, although you are advised to confer with your Regional Counsel should such a circumstance arise.

Please feel free to contact me or Justina Fugh, Senior Counsel for Ethics, if you have any further questions. I can be reached at mallory.brenda@epa.gov or (202) 564-8064; Justina can be reached at fugh.justina@epa.gov or at (202) 564-1786.

cc: Diane Thompson, Chief of Staff
 Michelle Pirzadeh, Deputy Regional Administrator, Region 10
 Cyndy Mackey, Acting Regional Counsel, Region 10
 Thomas Jahnke, Regional Ethics Counsel, Region 10
 Brenda Mallory, Designated Agency Ethics Official
 Justina Fugh, Senior Counsel for Ethics



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION 10

1200 Sixth Avenue, Suite 900
Seattle, Washington 98101-3140

JUN 11 2010

OFFICE OF THE
REGIONAL ADMINISTRATOR

MEMORANDUM

SUBJECT: My Ethics Obligations

FROM: Dennis J. McLerran
Regional Administrator

A handwritten signature in black ink, appearing to read "Dennis J. McLerran".

TO: Lisa P. Jackson
Administrator

Robert Perciasepe
Deputy Administrator

This memorandum provides you with written notification regarding my ethics obligations. I have conferred with regional and headquarters ethics counsel and understand that I must recuse myself from matters in which I have a financial interest or a personal or business relationship.

I have ethics obligations with respect to my former employer, Puget Sound Clean Air Agency. I have been advised and I understand that the restrictions of the President's Ethics Pledge regarding "former employers" do not include prior state or local government service. The Puget Sound Clean Air Agency is a local government and, as such, it is not a former employer for purposes of the Ethics Pledge. However, pursuant to the ethics impartiality rules, I have a one-year cooling off period with my former employer. Therefore, I will not participate personally and substantially in any particular matter involving specific parties in which Puget Sound Clean Air Agency is a party or represents a party, unless I am first authorized to participate pursuant to 5 C.F.R. § 2635.502(d).

I also have ethics obligations with respect to my spouse's employer and her client, the State of Washington (State) and the University of Washington (University), respectively. Specifically, my spouse works as an attorney for the State's Office of the Attorney General and the University of Washington is her client. I understand that, pursuant to the ethics impartiality rules, I have a "covered relationship" with the State and the University. Because my duties and responsibilities necessarily involve the State, I have received a limited impartiality authorization from the Office of General Counsel's ethics office that permits me to participate in many matters where the State is a party or represents a party. However, as you can see from the attachment, I may not participate in matters where the University is involved unless I receive further authorization. See attached Ethics Impartiality Determination. To help ensure that I comply with my obligation to recuse myself from certain matters, I have implemented the following screening arrangement.

Unless I am authorized to participate by the Office of General Counsel (OGC) or the Regional Counsel, I am disqualified from participating in any particular matter in which any of the following entities is a party:

Name of Entity	Date when recusal ends under My Ethics Obligations
University of Washington	continues for duration of spouse's representation of this client
Puget Sound Clean Air Agency (my former employer)	February 19, 2011

In order to help ensure that I do not participate in matters relating to any of the entities listed above, I have taken or will take the following steps:

1. I have instructed the Regional Administrator's Special Assistant to screen all EPA matters directed to my attention that involve outside entities or that require my participation, to determine if they involve any of the entities or organizations listed above.
2. If the Special Assistant determines that a matter involves any of these entities or organizations, directly or indirectly, then she will refer them to the Deputy Regional Administrator for action or assignment, without my knowledge or involvement.
3. I will provide the Deputy Regional Administrator with a copy of this memorandum so that she may fully understand the purpose and scope of my recusal obligations and this screening arrangement. In order to help ensure that I do not inadvertently participate in matters from which I am recused, I am directing the Deputy Regional Administrator to seek the assistance of the Office of Regional Counsel and/or the Office of General Counsel's Ethics Office if she is ever uncertain whether or not I may participate in a matter.
4. I will provide a copy of this memorandum to my principal subordinates. I will also instruct my principal subordinates that all inquiries and comments involving any of the entities listed above should be directed to the Deputy Regional Administrator without my knowledge or involvement.
5. In consultation with OGC/Ethics and the Office of Regional Counsel, I will revise and update my ethics agreement and/or this memorandum whenever warranted by changed circumstances, including changes in my financial interests, my personal or business relationships, or the nature of my official duties.
6. In the event of any changes to this screening arrangement, I will provide a copy of the revised screening arrangement memorandum to you, OGC/Ethics, the Office of Regional Counsel, the Deputy Regional Administrator, and any principal subordinates.

cc: Diane Thompson, Chief of Staff
Michelle Pirzadeh, Deputy Regional Administrator, Region 10
David Allnutt Acting Regional Counsel, Region 10
Thomas Jahnke, Regional Ethics Counsel, Region 10
Brenda Mallory, Designated Agency Ethics Official
Justina Fugh, Senior Counsel for Ethics

JAN 28 2015

Mr. Kevin S. Minoli
Designated Agency Ethics Official
U.S. EPA (2310A)
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Dear Mr. Minoli:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Deputy Administrator for the United States Environmental Protection Agency.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

I am the sole member of my consulting firm, which does business as Meiburg Leadership Consulting, LLC. Upon confirmation, my consulting firm will cease engaging in any business, including the representation of clients. During my appointment to the position of Deputy Administrator, the consulting firm will remain dormant and will not advertise. I will not perform any services for the firm, except that I will comply with any requirements involving legal filings, taxes and fees that are necessary to maintain the consulting firm while it is in an inactive status. As Deputy Administrator, I will not participate personally and substantially in any particular matter that has a direct and predictable effect on the financial interests of Meiburg Leadership Consulting, LLC. In addition, I will not participate personally and substantially in any particular matter involving specific parties in which a former client of mine is a party or represents a party for a period of one year after I last provided service to that client, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

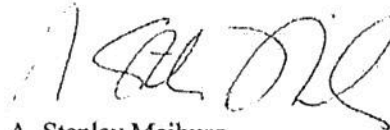
Upon confirmation, I will resign from my position with Emory University. My spouse is an employee with Emory University. For as long as my spouse is employed by Emory University, I will not participate personally and substantially in any particular matter involving specific parties in which Emory University is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d). Regardless of whether my spouse

remains an employee of Emory University, for a period of one year after my resignation, I will not participate personally and substantially in any particular matter involving specific parties in which Emory University is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I understand that as an appointee I am required to sign the Ethics Pledge (Exec. Order No. 13490) and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this ethics agreement.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with other ethics agreements of Presidential nominees who file public financial disclosure reports.

Sincerely yours,

A handwritten signature in black ink, appearing to read "A. Stanley Meiburg". The signature is stylized with a large initial "A" and a long, sweeping underline.

A. Stanley Meiburg

JAN 28 2015



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
Washington, D.C. 20460

OFFICE OF
GENERAL COUNSEL

The Honorable Walter M. Shaub, Jr.
U.S. Office of Government Ethics
Suite 500
1201 New York Avenue, NW
Washington, D.C. 20005-3919

Dear Mr. Shaub:

As required by 5 C.F.R. § 2634.605(c), I have reviewed the Public Financial Disclosure Report (OGE-278) submitted by Mr. A. Stanley Meiburg in connection with his nomination to be the Deputy Administrator for the United States Environmental Protection Agency.

As required by 18 U.S.C. § 208(a), he will not participate personally and substantially in any particular matter that has a direct and predictable effect on his financial interests or those of any person whose interests are imputed to him, unless he first obtains a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). He understands that the interests of the following persons are imputed to him: any spouse or minor child of his; any general partner of a partnership in which he is a limited or general partner; any organization in which he serves as officer, director, trustee, general partner or employee; and any person or organization with which he is negotiating or has an arrangement concerning prospective employment.

He is the sole member of his consulting firm, which does business as Meiburg Leadership Consulting, LLC. Upon confirmation, his consulting firm will cease engaging in any business, including the representation of clients. During his appointment to the position of Deputy Administrator, the consulting firm will remain dormant and will not advertise. He will not perform any services for the firm, except that he will comply with any requirements involving legal filings, taxes and fees that are necessary to maintain the consulting firm while it is in an inactive status. As Deputy Administrator, he will not participate personally and substantially in any particular matter that has a direct and predictable effect on the financial interests of Meiburg Leadership Consulting, LLC. In addition, he will not participate personally and substantially in any particular matter involving specific parties in which a former client of his is a party or represents a party for a period of one year after he last provided service to that client, unless he is first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Upon confirmation, he will resign from his position with Emory University. His spouse is an employee with Emory University. For as long as his spouse is employed by Emory University, he will not participate personally and substantially in any particular matter involving

specific parties in which Emory University is a party or represents a party, unless he is first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d). Regardless of whether his spouse remains an employee of Emory University, for a period of one year after his resignation, he will not participate personally and substantially in any particular matter involving specific parties in which Emory University is a party or represents a party, unless he is first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

He understands that as an appointee he is required to sign the Ethics Pledge (Exec. Order No. 13490) and that he will be bound by the requirements and restrictions therein in addition to the commitments he has made in his ethics agreement.

He have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with other ethics agreements of Presidential nominees who file public financial disclosure reports.

Sincerely,

A handwritten signature in blue ink, appearing to read 'K Minoli'.

Kevin Minoli
Designated Agency Ethics Official

Enclosures



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

REGION 4
ATLANTA FEDERAL CENTER
61 FORSYTH STREET
ATLANTA, GEORGIA 30303-8960

MAR - 6 2012

MEMORANDUM

SUBJECT: Request for Approval of Outside Activity

FROM: A. Stanley Meiburg
Deputy Regional Administrator

THRU: Gwendolyn Keyes Fleming
Regional Administrator

TO: Justina Fugh
EPA Ethics Official

The purpose of this memorandum is to request permission to engage in outside activity by writing an article entitled, "Leading at the Intergovernmental Boundary: EPA's Regional Offices," to be included in a book entitled "True Green," edited by Dr. Gerald Emison of Mississippi State University and Dr. John Morris of Old Dominion University, to be published by Lexington Press in the fall of 2012.

I will not be compensated for writing this article. The writing will be conducted entirely outside my normal duty hours, and I will not use any official government property, resources or facilities not available to the general public in connection with preparing for, or performing, this writing. In addition, I will include in the article a disclaimer that states that the article is written by me in my personal capacity only and not as part of my official duties, and that the views expressed are my own and not necessarily those of the United States Environmental Protection Agency or the United States government. There will be a short biography in the book, which will state:

A. Stanley Meiburg is the Deputy Regional Administrator of EPA Region 4 in Atlanta, Georgia, a position he has held since 1996. He began his career with EPA in 1977 and has served in a variety of positions with the Agency. Dr. Meiburg holds the B.A. degree from Wake Forest University and M.A. and Ph.D. degrees in political science from The Johns Hopkins University.

Thank you for your consideration of this request.

approved : Justina Fugh
Senior Counsel for Ethics / ADAEO
3/9/12



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

REGION 4
ATLANTA FEDERAL CENTER
61 FORSYTH STREET
ATLANTA, GEORGIA 30303-8960

Supplemental Information for Request for Approval of Outside Activity for A. Stanley Meiburg

Grade: ES-340-00

Estimated time to be devoted to this activity: 20 hours over a two month period

I have read, am familiar with, and will abide by the restrictions described in 5 CFR Part 2635 (Subpart H on "Outside Activities) and Section 6401.102 (EPA's Supplemental Regulations)

To the best of my knowledge, there are no EPA assistance agreements or contracts held by either of the editors of the book or by Lexington Press.

A handwritten signature in blue ink, appearing to read "A Stanley Meiburg", written over a horizontal line.

A. Stanley Meiburg

A handwritten date "3/9/2012" in blue ink, written over a horizontal line.


Date



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

MEMORANDUM

SUBJECT: Recusal on Issues Related to Emory University and Meiburg Leadership Consulting, LLC

FROM: A. Stanley Meiburg
Acting Deputy Administrator 

TO: Gina McCarthy
Administrator

The purpose of this memorandum is to describe the steps that I will take to avoid any actual or apparent conflict of interest in my position as Acting Deputy Administrator.

I am the sole member of my consulting firm, which does business as Meiburg Leadership Consulting, LLC. My consulting has ceased engaging in any business, including the representation of clients. During my appointment to the position of Acting Deputy Administrator, the consulting firm will remain dormant and will not advertise. I will not perform any services for the firm, except that I will comply with any requirements involving legal filings, taxes and fees that are necessary to maintain the consulting firm while it is in an inactive status. As Acting Deputy Administrator, I will not participate personally and substantially in any particular matter that has a direct and predictable effect on the financial interests of Meiburg Leadership Consulting, LLC. In addition, I will not participate personally and substantially in any particular matter involving specific parties in which a former client of mine is a party or represents a party for a period of one year after I last provided service to that client, unless I first consult with the Office of General Counsel and am authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

I have retained my position as adjunct professor with Emory University. For as long as I retain my position with Emory University, I will not participate personally and substantially in any particular matter that has a direct and predictable effect on them unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

Should I resign my position with Emory University, I will not participate personally and substantially in any particular matter involving specific parties in which Emory University is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d) for a period of one year after my resignation.

Matters covered by this recusal are to be referred to John Reeder without my participation.

cc: Gwendolyn Keyes-Fleming, Chief of Staff
John Reeder, Deputy Chief of Staff
Justina Fugh, OGC



Impartiality Determination Under 5 CFR 2635.502(c) and (d)

Teresa Ruppe to: Jane Nishida

Cc: Michael Stahl, Justina Fugh, Jennie Keith, Neilima Senjalia

04/20/2011 05:52 PM

Jane, attached below is your signed impartiality determination. Please remember this is a limited impartiality authorization; and you are recused from working on the following specific party matters involving the World Bank through January 2012:

India: Capacity Building for Industrial Pollution Management Project

India: Strengthen Institutions for Sustainable Growth Project

India: institutional reforms relating to the Ministry of Environment and Forest

Please contact me, if you have any questions.

Regards,

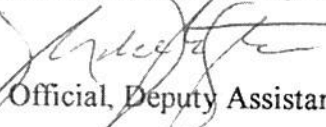
Teresa
564-6619



Signed Impartiality Determination for Jane Nishia.pdf

MEMORANDUM

SUBJECT: Impartiality Determination under 5 CFR 2635.502(c) and (d)

FROM: Michael Stahl 
Deputy Ethics Official, Deputy Assistant Administrator

TO: Jane Nishida
Director, Office of Regional and Bilateral Affairs
Office of International and Tribal Affairs

As Director of the Office of Regional and Bilateral Affairs (ORBA), you seek permission to participate in specific party matters involving the World Bank, your former employer. As you know, you have a one-year "covered relationship" with the World Bank pursuant to 5 C.F.R. 2635.502(b)(iv) and must take appropriate steps to avoid an appearance of a loss of impartiality in the performance of your official duties. You do not present any conflicting financial interests with the World Bank, but we need to address the impartiality concern. To address the impartiality concern, I am issuing you this limited impartiality authorization pursuant to 5 C.F.R. 2635.502(d).

Federal ethics regulations permit federal officials to participate in matters that might raise impartiality concerns when the interest of the federal government in the employee's participation outweighs concern over the questioning of the "integrity of the agency's programs and operations." 5 C.F.R. 2635.502(d). Some of the factors that the Agency takes into consideration when making this determination include the six factors that are listed in 5 C.F.R. 2635.502(d). These factors are:

- 1) the nature of the relationship involved;
- 2) the effect that resolution of the matter will have upon the financial interest of the person affected in the relationship;
- 3) the nature and importance of the employee's role in the matter, including the extent to which the employee is called upon to exercise discretion in the matter;
- 4) the sensitivity of the matter;
- 5) the difficulty of reassigning the matter to another employee; and
- 6) adjustments that may be made in the employee's duties that would reduce or eliminate the likelihood that a reasonable person would question the employee's impartiality.

be asked, as indeed you have been, participate in discussions and meetings related to particular matters that affect the World Bank, a key regional partner of the Agency. To determine whether you may participate, I have carefully considered the impartiality factors as follows:

- 1) Nature of the relationship involved – While employed with the World Bank, you were a Senior Environmental Institution Specialist for the South Asia Region and were responsible for environmental governance issues, institutional assessments, and capacity building projects in Afghanistan, India, Nepal, Pakistan, and Sri Lanka. Specifically, you worked on India institutional strengthening and environmental governance issues directly with EPA. During your tenure at the World Bank, you did not work in any other regions. EPA does not currently have active bilateral programs in Afghanistan, Nepal, Pakistan, or Sri Lanka.

Certainly, the strongest impartiality sensitivities revolve around the issues in which you participated personally and substantially for the World Bank. The concerns about any loss of impartiality decrease when you seek to participate in your EPA capacity on World Bank matters that did not involve the South Asia Region or that you did not participate in personally and substantially.

- 2) Effect of the matter upon your financial interest - I have concluded that there is no possibility that any of EPA's actions will affect your own financial interests or those interests imputed to you under the financial and impartiality rules – 18 USC 208 and 5CFR 2635.502, respectively.
- 3) Nature and importance of the employee's role – As the Director for ORBA, you are expected to communicate freely with the Agency's key regional partners and public international organizations, and those institutions include the World Bank. EPA works closely and directly with partners on a continuing and frequent basis and your participation in this relationship is of significance.
- 4) Sensitivity of the matter – I am aware that matters involving the World Bank may rise to your level of attention. Unless you participated personally and substantially in these matters while a World Bank employee, the Agency has a strong interest that you be involved in these matters to ensure the efficiency of our programs.
- 5) Difficulty of reassigning the matter to another employee – As the Director of ORBA for these matters, your participation and expertise is important to the Office. Your position and your skills make reassignment to another person unrealistic.

Based upon these considerations, I conclude that you may participate in specific party matters involving the World Bank generally, even if the South Asia Region is involved, because the interest of the United States Government in your participation

for the World Bank.

Below is a list of specific party matters on which you cannot work. In the event that the Agency has a compelling reason for your participation on any of these matters, EPA ethics officials may reconsider the factors and information listed above on a case-by-case basis along with additional relevant details before determining whether to authorize your participation. You must recuse yourself from these matters unless EPA ethics officials determine that the Agency's interest in your participation outweighs any impartiality concern and authorizes you to participate. Specific party matters involving the World Bank on which you cannot work:

- India: Capacity Building for Industrial Pollution Management Project
- India: Strengthen Institutions for Sustainable Growth Project
- India: institutional reforms relating to the Ministry of Environment and Forest

In issuing this determination, which allows you to participate in a wide range of matters involving the World Bank, there may be matters within that permissible range which involve the World Bank or the South Asia Region that your better judgment might counsel you to avoid because of a *lingering appearance of impropriety*. Nothing in this impartiality determination should preclude you from choosing to recuse yourself, although you are advised to confer with the Assistant Deputy Ethics Official or OGC Ethics should such a circumstance arise.

Please feel free to contact me or Teresa Ruppe, Assistant Deputy Ethics Official, at 564-6619, if you have any questions.

cc: Justina Fugh, Senior Counsel for Ethics
Jennie Keith, Ethics Specialist
Neilima Senjalia, Deputy Office Director
Teresa Ruppe, Assistant Deputy Ethics Official



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
Washington, D.C. 20460

OFFICE OF
GENERAL COUNSEL

JAN 27 2015

The Honorable Walter M. Shaub, Jr.
U.S. Office of Government Ethics
Suite 500
1201 New York Avenue, NW
Washington, D.C. 20005-3919

Dear Mr. Shaub:

As required by 5 C.F.R. § 2634.605(c), I have reviewed the Public Financial Disclosure Report (OGE-278) submitted by Ms. Jane T. Nishida in connection with her nomination to be the Assistant Administrator for International and Tribal Affairs for the United States Environmental Protection Agency.

As required by 18 U.S.C. § 208(a), she will not participate personally and substantially in any particular matter that has a direct and predictable effect on her financial interests or those of any person whose interests are imputed to her, unless she first obtains a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). She understands that the interests of the following persons are imputed to her: any spouse or minor child of hers; any general partner of a partnership in which she is a limited or general partner; any organization in which she serves as officer, director, trustee, general partner or employee; and any person or organization with which she is negotiating or have an arrangement concerning prospective employment.

She understands that as an appointee she will be required to sign the Ethics Pledge (Executive Order 13490) and that she will be bound by the requirements and restrictions therein in addition to the commitments she has made in this ethics agreement.

She has been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with other ethics agreements of Presidential nominees who file public financial disclosure reports.

I therefore determine that Ms. Nishida's ethics agreement and financial disclosure report disclose no likely conflict of interest under applicable statutes and regulations. Accordingly, I have signed and dated the enclosed report. A statement of the organization and functions of the office are enclosed. Please call Justina Fugh, Senior Counsel for Ethics, at (202) 564-1786 if you have any questions.

Sincerely,

A handwritten signature in blue ink, appearing to read 'K. Minoli', with a stylized flourish at the end.

Kevin Minoli
Designated Agency Ethics Official

Enclosures



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

JAN 26 2015

Mr. Kevin Minoli
Designated Agency Ethics Official
U.S. EPA (2310A)
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Office of
International and
Tribal Affairs

Dear Mr. Minoli:

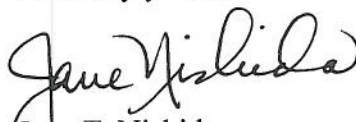
The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Assistant Administrator for International and Tribal Affairs for the United States Environmental Protection Agency.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter in which I know that I have a financial interest directly and predictably affected by the matter, or in which I know that a person whose interests are imputed to me has a financial interest directly and predictably affected by the matter, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

I understand that as an appointee I will be required to sign the Ethics Pledge (Executive Order 13490) and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this ethics agreement.

I have been advised that this ethics agreement will be posted publicly, consistent with 5 U.S.C. § 552, on the website of the U.S. Office of Government Ethics with ethics agreements of other Presidential nominees who file public financial disclosure reports.

Sincerely yours,


Jane T. Nishida



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION 1
ONE CONGRESS STREET SUITE 1100
BOSTON, MA 02114-2023

MEMORANDUM

DATE: November 20, 2013

SUBJECT: Screening Arrangement Pursuant to My Ethics Obligations

FROM: H. Curtis Spalding
Regional Administrator
Region I

A handwritten signature in dark ink, appearing to read "H. Curtis Spalding", is written over the typed name and title.

TO: Gina McCarthy, Administrator
Robert Perciasepe, Deputy Administrator

This memorandum provides you with written notification of the screening arrangement I have implemented to ensure that I comply with my obligation to recuse myself from certain matters in which I have a financial interest, or a personal or business relationship. I am disqualified from participating personally and substantially in any particular matter that would have a direct and predictable effect on the financial interests of the following:

Name of Entity	Date when recusal ends
Helicos	continues for duration of spouse's employment with this entity and as long as we own stock in the company
Astrazeneca	continues for as long as we own stock in the company
Pfizer	continues for as long as we own stock in the company
VM Ware	continues for as long as we own stock in the company
3M	continues for as long as we own stock in the company
Intel	continues for as long as we own stock in the company
Google	continues for as long as we own stock in the company
Sandisk	continues for as long as we own stock in the company

MATTERS OF GENERAL APPLICABILITY

I am disqualified from participating personally and substantially in any particular matter, such as sector-specific targeted enforcement actions and sector-specific assistance and pollution prevention activities, that would have a direct and predictable effect on:

Name of Entity	Date when recusal ends
Bioscience and Pharmaceutical sector	continues for as long as we own stock in the bioscience and pharmaceutical sector
Chemical industry sector	continues for as long as we own stock in the chemical industry sector

Unless I am authorized to participate by the Office of General Counsel (OGC), I am disqualified from participating in any particular matter involving specific parties in which any of the following entities is a party or represents a party:

Name of Entity	Date when recusal ends
Lincoln School	continues for duration of my affiliation with this entity
Edgewood Sailing School	continues for duration of my affiliation with this entity

In order to help ensure that I do not participate in matters relating to any of the entities listed above, I have taken or will take the following steps:

1. I have instructed Nancy Grantham to screen all EPA matters directed to my attention that involve outside entities or that require my participation, to determine if they involve any of the entities or organizations listed above.
2. If Nancy Grantham determines that a matter involves any of these entities or organizations, directly or indirectly, then she will refer them to the Deputy Regional Administrator for action or assignment, without my knowledge or involvement. At present, Michael Kenyon is acting as the Region I Deputy Regional Administrator, although this position may be filled by a permanent appointee within the upcoming year.
3. I will provide the Deputy Regional Administrator with a copy of this memorandum so that they may fully understand the purpose and scope of my recusal obligations and this screening arrangement. In order to help ensure that I do not inadvertently participate in matters from which I am recused, I am directing the Deputy Regional Administrator to seek the assistance of the Regional Counsel and/or the Office of General Counsel's Ethics Office if s/he is ever uncertain whether or not I may participate in a matter.
4. I will provide a copy of this memorandum to my principal subordinates. I will also instruct my principal subordinates that all inquiries and comments involving any of the entities listed above should be directed to the Deputy Regional Administrator without my knowledge or involvement.

5. In consultation with OGC/Ethics and the Regional Counsel, I will revise and update my ethics agreement and/or this memorandum whenever is warranted by changed circumstances, including changes in my financial interests, my personal or business relationships, or the nature of my official duties.
 6. In the event of any changes to this screening arrangement, I will provide a copy of the revised screening arrangement memorandum to you, OGC/Ethics, the Regional Counsel, the Deputy Regional Administrator, and any principal subordinates.
- cc: Deputy Regional Administrator (Michael Kenyon, Acting Deputy Regional Administrator)
Carl Dierker, Regional Counsel
LeAnn Jensen, Regional Ethics Counsel
Brenda Mallory, Designated Agency Ethics Official
Justina Fugh, Senior Counsel for Ethics



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION 1
ONE CONGRESS STREET SUITE 1100
BOSTON, MA 02114-0223

MEMORANDUM

DATE: July 20, 2010

SUBJECT: Screening Arrangement Pursuant to My Ethics Obligations

FROM: H. Curtis Spalding
Regional Administrator
Region I

TO: Lisa P. Jackson, Administrator
Robert Perciasepe, Deputy Administrator

This memorandum provides you with written notification of the screening arrangement I have implemented to ensure that I comply with my obligation to recuse myself from certain matters with which I have a financial interest, or a personal or business relationship. I am disqualified from participating personally and substantially in any particular matter that would have a direct and predictable effect on the financial interests of the following:

Name of Entity	Date when recusal ends
Helicos	continues for duration of spouse's employment with this entity and as long as we own stock in the company
Research In Motion	continues for as long as we own stock in the company
Textron	continues for as long as we own stock in the company
Pfizer	continues for as long as we own stock in the company
VM Ware	continues for as long as we own stock in the company
3M	continues for as long as we own stock in the company

MATTERS OF GENERAL APPLICABILITY

I am disqualified from participating personally and substantially in any particular matter, such as sector-specific targeted enforcement actions and sector-specific assistance and pollution prevention activities, that would have a direct and predictable effect on:

Name of Entity	Date when recusal ends under the President's Ethics Pledge	Date when recusal ends under My Ethics Agreement
Bioscience sector	continues for as long as we own stock in the bioscience sector	continues for as long as we own stock in the bioscience sector
Chemical industry sector	continues for as long as we own stock in the chemical industry sector	continues for as long as we own stock in the chemical industry sector

Unless I am authorized to participate by the Office of General Counsel (OGC), I am disqualified from participating in any particular matter involving specific parties in which any of the following entities is a party or represents a party:

Name of Entity	Date when recusal ends under the President's Ethics Pledge	Date when recusal ends under Ethics Regulations
Save the Bay, Inc.	December 3, 2011	June 30, 2010
Green Thinking Associates	December 3, 2011	December 3, 2010
Stamford Urban Redevelopment Corporation	December 3, 2011	September 30, 2010
BioProcess Technologies	December 3, 2011	November 30, 2010
Clean The Bay	February 1, 2012	February 1, 2011
Grow Smart Rhode Island	February 1, 2012	February 1, 2011
Edgewood Sailing School	continues for duration of my affiliation with this entity	continues for duration of my affiliation with this entity

In order to help ensure that I do not participate in matters relating to any of the entities listed above, I have taken or will take the following steps:

1. I have instructed Nancy Grantham to screen all EPA matters directed to my attention that involve outside entities or that require my participation, to determine if they involve any of the entities or organizations listed above.
2. If Nancy Grantham determines that a matter involves any of these entities or organizations, directly or indirectly, then she will refer them to Ira Leighton for action or assignment, without my knowledge or involvement.
3. I will provide Ira Leighton with a copy of this memorandum so that they may fully understand the purpose and scope of my recusal obligations and this screening arrangement. In order to help ensure that I do not inadvertently participate in matters from which I am recused, I am directing Ira Leighton to seek the assistance of the Regional Counsel and/or the Office of General Counsel's Ethics Office if he is ever uncertain whether or not I may participate in a matter.
4. I will provide a copy of this memorandum to my principal subordinates. I will also instruct my

principal subordinates that all inquiries and comments involving any of the entities listed above should be directed to Ira Leighton without my knowledge or involvement.

5. In consultation with OGC/Ethics and the Regional Counsel, I will revise and update my ethics agreement and/or this memorandum whenever is warranted by changed circumstances, including changes in my financial interests, my personal or business relationships, or the nature of my official duties.
6. In the event of any changes to this screening arrangement, I will provide a copy of the revised screening arrangement memorandum to you, OGC/Ethics, the Regional Counsel, Ira Leighton, and any principal subordinates.

cc: Ira W. Leighton, Deputy Regional Administrator
Carl Dierker, Regional Counsel
LeAnn Jensen, Regional Ethics Counsel
Brenda Mallory, Designated Agency Ethics Official
Justina Fugh, Senior Counsel for Ethics



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION 1
5 POST OFFICE SQUARE, SUITE 100
BOSTON, MA 02109-3912

OFFICE OF THE
REGIONAL ADMINISTRATOR

MEMORANDUM

DATE: February 8, 2010

SUBJECT: Screening Arrangement Pursuant to My Ethics Obligations

FROM: H. Curtis Spalding
Regional Administrator
Region I

TO: Lisa P. Jackson, Administrator
Robert Perciasepe, Deputy Administrator

This memorandum provides you with written notification of the screening arrangement I have implemented to ensure that I comply with my obligation to recuse myself from certain matters with which I have a financial interest, or a personal or business relationship. I am disqualified from participating personally and substantially in any particular matter that would have a direct and predictable effect on the financial interests of the following:

Name of Entity	Date when recusal ends
Helicos	continues for duration of spouse's employment with this entity and as long as we own stock in the company
Research In Motion	continues for as long as we own stock in the company
Textron	continues for as long as we own stock in the company
Pfizer	continues for as long as we own stock in the company
VM Ware	continues for as long as we own stock in the company

Unless I am authorized to participate by the Office of General Counsel (OGC), I am disqualified from participating in any particular matter involving specific parties in which any of the following entities is a party or represents a party:

Name of Entity	Date when recusal ends under the President's Ethics Pledge	Date when recusal ends under Ethics Regulations
Save the Bay, Inc.	December 3, 2011	June 30, 2010
Green Thinking Associates	December 3, 2011	December 3, 2010
Stamford Urban Redevelopment Corporation	December 3, 2011	September 30, 2010
BioProcess Technologies	December 3, 2011	November 30, 2010
Clean The Bay	February 1, 2012	February 1, 2011
Grow Smart Rhode Island	February 1, 2012	February 1, 2011
Edgewood Sailing School	continues for duration of my affiliation with this entity	continues for duration of my affiliation with this entity

In order to help ensure that I do not participate in matters relating to any of the entities listed above, I have taken or will take the following steps:

1. I have instructed Nancy Grantham to screen all EPA matters directed to my attention that involve outside entities or that require my participation, to determine if they involve any of the entities or organizations listed above.
2. If Nancy Grantham determines that a matter involves any of these entities or organizations, directly or indirectly, then she will refer them to Ira Leighton for action or assignment, without my knowledge or involvement.
3. I will provide Ira Leighton with a copy of this memorandum so that they may fully understand the purpose and scope of my recusal obligations and this screening arrangement. In order to help ensure that I do not inadvertently participate in matters from which I am recused, I am directing Ira Leighton to seek the assistance of the Regional Counsel and/or the Office of General Counsel's Ethics Office if s/he is ever uncertain whether or not I may participate in a matter.
4. I will provide a copy of this memorandum to my principal subordinates. I will also instruct my principal subordinates that all inquiries and comments involving any of the entities listed above should be directed to Ira Leighton without my knowledge or involvement.
5. In consultation with OGC/Ethics and the Regional Counsel, I will revise and update my ethics agreement and/or this memorandum whenever is warranted by changed circumstances, including changes in my financial interests, my personal or business relationships, or the nature of my official duties.

6. In the event of any changes to this screening arrangement, I will provide a copy of the revised screening arrangement memorandum to you, OGC/Ethics, the Regional Counsel, Ira Leighton, and any principal subordinates.

cc: Ira Leighton, Deputy Regional Administrator
Carl Dierker, Regional Counsel
LeAnn Jensen, Regional Ethics Counsel
Patricia K. Hirsch, Designated Agency Ethics Official
Justina Fugh, Senior Counsel for Ethics



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION 1
ONE CONGRESS STREET SUITE 1100
BOSTON, MA 02114-2023

MEMORANDUM

DATE: September 24, 2012

SUBJECT: Screening Arrangement Pursuant to My Ethics Obligations

FROM: H. Curtis Spalding
Regional Administrator
Region I

TO: Lisa P. Jackson, Administrator
Robert Perciasepe, Deputy Administrator

This memorandum provides you with written notification of the screening arrangement I have implemented to ensure that I comply with my obligation to recuse myself from certain matters in which I have a financial interest, or a personal or business relationship. I am disqualified from participating personally and substantially in any particular matter that would have a direct and predictable effect on the financial interests of the following:

Name of Entity	Date when recusal ends
Helicos	continues for duration of spouse's employment with this entity and as long as we own stock in the company
Astrazeneca	continues for as long as we own stock in the company
Pfizer	continues for as long as we own stock in the company
VM Ware	continues for as long as we own stock in the company
3M	continues for as long as we own stock in the company

MATTERS OF GENERAL APPLICABILITY

I am disqualified from participating personally and substantially in any particular matter, such as sector-specific targeted enforcement actions and sector-specific assistance and pollution prevention activities, that would have a direct and predictable effect on:

Name of Entity	Date when recusal ends
Bioscience sector	continues for as long as we own stock in the bioscience sector
Chemical industry sector	continues for as long as we own stock in the chemical industry sector

Unless I am authorized to participate by the Office of General Counsel (OGC), I am disqualified from participating in any particular matter involving specific parties in which any of the following entities is a party or represents a party:

Name of Entity	Date when recusal ends
Lincoln School	continues for duration of my affiliation with this entity
Edgewood Sailing School	continues for duration of my affiliation with this entity

In order to help ensure that I do not participate in matters relating to any of the entities listed above, I have taken or will take the following steps:

1. I have instructed Nancy Grantham to screen all EPA matters directed to my attention that involve outside entities or that require my participation, to determine if they involve any of the entities or organizations listed above.
2. If Nancy Grantham determines that a matter involves any of these entities or organizations, directly or indirectly, then she will refer them to Ira Leighton for action or assignment, without my knowledge or involvement.
3. I will provide Ira Leighton with a copy of this memorandum so that they may fully understand the purpose and scope of my recusal obligations and this screening arrangement. In order to help ensure that I do not inadvertently participate in matters from which I am recused, I am directing Ira Leighton to seek the assistance of the Regional Counsel and/or the Office of General Counsel's Ethics Office if he is ever uncertain whether or not I may participate in a matter.
4. I will provide a copy of this memorandum to my principal subordinates. I will also instruct my principal subordinates that all inquiries and comments involving any of the entities listed above should be directed to Ira Leighton without my knowledge or involvement.
5. In consultation with OGC/Ethics and the Regional Counsel, I will revise and update my ethics agreement and/or this memorandum whenever is warranted by changed circumstances, including changes in my financial interests, my personal or business relationships, or the nature of my official duties.
6. In the event of any changes to this screening arrangement, I will provide a copy of the revised screening arrangement memorandum to you, OGC/Ethics, the Regional Counsel, Ira Leighton,

and any principal subordinates.

cc: Ira W. Leighton, Deputy Regional Administrator
Carl Dierker, Regional Counsel
LeAnn Jensen, Regional Ethics Counsel
Brenda Mallory, Designated Agency Ethics Official
Justina Fugh, Senior Counsel for Ethics



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION 1
ONE CONGRESS STREET SUITE 1100
BOSTON, MA 02114-2023

MEMORANDUM

DATE: September 21, 2015

SUBJECT: Screening Arrangement Pursuant to My Ethics Obligations

FROM: H. Curtis Spalding
Regional Administrator
Region I

TO: Gina McCarthy, Administrator
Stan Meiburg, Acting Deputy Administrator

This memorandum provides you with written notification of the screening arrangement I have implemented to ensure that I comply with my obligation to recuse myself from certain matters in which I have a financial interest, or a personal or business relationship. Because of the current level of my financial ownership, I am disqualified from participating personally and substantially in any particular matter that affects the following entities as specific parties:

Pfizer	3M Company
Astrazeneca	Bank of America
Bank of Montreal	Facebook
Hasbro	Boeing
VM Ware	Eli Lilly & Co.
Tesla	

In addition, I am recused from participating personally and substantially in any particular matter of general applicability that is focused on the interests of any individual discrete and identifiable class of "persons" (identified as "sectors" below). This prohibition extends to each class (or sector) individually. These sectors are as follows:

Chemical Manufacturing	Pharmaceuticals
Aerospace, Defense Products & Services	Banking
Consumer Products: Toys	Technical & System Software

I am also recused from participating personally and substantially in any particular matter that would have a direct and predictable effect on the financial interests Claritas Genomics for as long as my spouse is employed with this company. I am also recused from participating in any particular matter where the Lincoln School or Edgewood Sailing School are specific parties or represents a party.

In order to help ensure that I do not participate in matters relating to any of the entities listed above, I have taken or will take the following steps:

1. I have instructed Nancy Grantham to screen all EPA matters directed to my attention that involve outside entities or that require my participation, to determine if they involve any of the entities or organizations listed above.
2. If Nancy Grantham determines that a particular matter will directly involve any of companies listed on my "specific party" recusal list, then she will refer it for action or assignment to another, without my knowledge or involvement. If she identifies a particular matter of general applicability that is focused on the interests of any of the individual sectors on my recusal list, then she will refer it for action or assignment to another, without my knowledge or involvement. In the event that she is unsure whether an issue is a particular matter from which I am recused, she will consult with LeAnn Jensen, Regional Ethics Counsel, or the Office of General Counsel's Ethics Office for a determination. She understands that she is not authorized to make ethics determinations as to whether there is a direct and predictable financial effect and must instead consult with an authorized ethics official.
3. I will provide Deborah Szaro, Deputy Regional Administrator, with a copy of this memorandum so that she may fully understand the purpose and scope of my recusal obligations and this screening arrangement. In order to help ensure that I do not inadvertently participate in matters from which I am recused, I am directing Deborah to seek the assistance of the Regional Counsel and/or the Office of General Counsel's Ethics Office if she is ever uncertain whether or not I may participate in a matter.
4. I will provide a copy of this memorandum to my principal subordinates. I will also instruct my principal subordinates that all inquiries and comments involving any of the entities listed above should be directed to the Deputy Regional Administrator without my knowledge or involvement.
5. In consultation with OGC/Ethics and the Regional Counsel, I will revise and update my ethics agreement and/or this memorandum whenever is warranted by changed circumstances, including changes in my financial interests, my personal or business relationships, or the nature of my official duties.
6. In the event of any changes to this screening arrangement, I will provide a copy of the revised screening arrangement memorandum to you, OGC/Ethics, the Regional Counsel, the Deputy Regional Administrator, and any principal subordinates.

cc: Deborah Szaro, Deputy Regional Administrator
Nancy Grantham, Chief of Staff
Carl Dierker, Regional Counsel
LeAnn Jensen, Assistant Regional Ethics Counsel
Kevin S. Minoli, Designated Agency Ethics Official

Justina Fugh, Senior Counsel for Ethics
Nancy Barmakian, Office Director, Office of Site Remediation and Restoration
Art Johnson, Office Director, Office of Environmental Measurement and Evaluation
Mike Kenyon, Office Director, Office of Administration and Resource Management
Ken Moraff, Office Director, Office of Ecosystem Protection
Susan Studlien, Office Director, Office of Environmental Stewardship



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

APR 7 2009

OFFICE OF
GENERAL COUNSEL

The Honorable Robert I. Cusick, Director
U.S. Office of Government Ethics
Suite 500
1201 New York Avenue, NW
Washington, D.C. 20005-3919

Dear Mr. Cusick:

As required by 5 C.F.R. 2634.605(c), I have reviewed the Public Financial Disclosure Report (SF 278) submitted by Mathy Stanislaus in connection with his nomination to be the Assistant Administrator for Solid Waste and Emergency Response of the U.S. Environmental Protection Agency.

Mr. Stanislaus's letter to me describes his proposed ethics agreement and the steps that he will take if confirmed as Assistant Administrator. He will not participate personally and substantially in any particular matter that has a direct and predictable effect on IBM or any other of his financial interests or those of any person whose interests are imputed to him, unless he obtains a waiver under 18 U.S.C. § 208(b)(1) or qualifies for a regulatory exemption under § 208(b)(2).

If confirmed, he will resign from his positions with New Partners for Community Revitalization, Inc., New York City Environmental Justice Alliance, Inc., UPROSE, Inc., and the Pratt Institute. In addition, he will place Allegiance Resources, Inc. in inactive status. The firm, which he owns solely, will not retain any employees nor perform any work or advertise. For one year after his resignations, he will not participate personally and substantially in any particular matter in which any of the above-mentioned former entities is a party or represents a party, unless he is authorized to participate pursuant to 5 C.F.R. § 2635.502(d). In addition, Mr. Stanislaus understands that he is bound by the Ethics Pledge and will abide by the additional requirements and restrictions.



Stanislaus²

I therefore determine that Mr. ~~Silva~~ Stanislaus's ethics agreement and financial disclosure report disclose no likely conflict of interest under applicable statutes and regulations. Accordingly, I have signed and dated the enclosed report. A statement of the organization and functions of the office are enclosed. Please call Justina Fugh, Senior Counsel for Ethics, at (202) 564-1786 if you have any questions.

Sincerely,



Patricia K. Hirsch

Designated Agency Ethics Official

Enclosures

April 7, 2009

Ms. Patricia K. Hirsch
Designated Agency Ethics Official
U.S. EPA (2301A)
1200 Pennsylvania Avenue, NW
Washington, DC 20460

Dear Ms. Hirsch:

The purpose of this letter is to describe the steps that I will take to avoid any actual or apparent conflict of interest in the event that I am confirmed for the position of Assistant Administrator for Solid Waste and Emergency Response of the United States Environmental Protection Agency.

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any person whose interests are imputed to me, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2). I understand that the interests of the following persons are imputed to me: any spouse or minor child of mine; any general partner of a partnership in which I am a limited or general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

I have been advised that the duties of the position of Assistant Administrator may involve particular matters affecting the financial interests International Business Machines, Inc. (IBM). The agency has determined that it is not necessary at this time for me to divest my interests in this entity because my recusal from particular matters in which these interests pose a conflict of interest will not substantially limit my ability to perform the essential duties of the position of Assistant Administrator. Accordingly, I will not participate personally and substantially in any particular matter that has a direct and predictable effect on the financial interests of this entity, unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2).

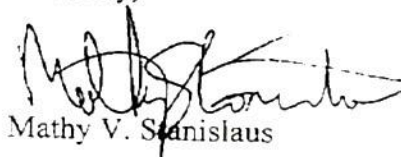
I am the sole owner of Allegiance Resources, Inc., a consulting company that I have incorporated. Upon confirmation, Allegiance Resources, Inc. will cease engaging in any business, including consulting services for new or existing clients. During my appointment to the position of Assistant Administrator, this corporation will remain dormant, and it will not retain any employees, perform work for a client or advertise. I will not perform any services for this corporation, except that I will comply with any requirements involving legal filings, taxes and fees that are necessary to maintain the corporation while it is in an inactive status. As Assistant Administrator, I will not participate personally and substantially in any particular

matter that has a direct and predictable effect on the financial interests of Allegiance Resources, Inc. In addition, I will not participate personally and substantially in any particular matter involving specific parties in which a former client of mine is a party or represents a party for a period of one year after I last provided service to that client, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Upon confirmation, I will resign from my positions with the following entities: New Partners for Community Revitalization, Inc.; New York City Environmental Justice Alliance, Inc.; UPROSE, Inc.; and the Pratt Institute. For a period of one year after my resignation from each of these entities, I will not participate personally and substantially in any particular matter involving specific parties in which that entity is a party or represents a party, unless I am first authorized to participate, pursuant to 5 C.F.R. § 2635.502(d).

Finally, I understand that as an appointee I will be required to sign the Ethics Pledge (Exec. Order No. 13490) and that I will be bound by the requirements and restrictions therein in addition to the commitments I have made in this and any other ethics agreement.

Sincerely,



Mathy V. Stanislaus



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

JUL 8 2009

OFFICE OF
SOLID WASTE AND
EMERGENCY RESPONSE

MEMORANDUM

SUBJECT: Recusal Statement

FROM: Mathy Stanislaus
Assistant Administrator

TO: Office of Solid Waste and Emergency Response

This memorandum sets forth my ethical obligations pursuant to the federal conflicts of interest statutes, the Standards of Ethical Conduct for Employees of the Executive Branch, Executive Order 13490, and the ethics pledge that I have signed. I ask that you review it carefully to assist me in ensuring that I do not participate inadvertently in any particular matter that is covered by this recusal statement. I will update this recusal statement periodically as circumstances warrant.

Financial conflicts of interest recusal

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any other person whose interests are imputed to me unless I first obtain a written waiver pursuant to § 208(b)(1), or qualify for a regulatory exemption pursuant to § 208(b)(2). I understand that the interests of the following persons are imputed to me: my spouse, minor children, or any general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

I will not personally and substantially participate in any particular matter that affects the following entity as a specific party, nor any particular matter of general applicability that affects it as a member of a discrete and identifiable class (which may include rulemaking, legislation or policymaking that is narrowly focused on a discrete and identifiable class), unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208(b)(1), or qualify for a regulatory exemption, pursuant to 18 U.S.C. § 208(b)(2):

NAME OF ENTITY	EXTENT OF RECUSAL
IBM	Specific party and general applicability

Impartiality recusal

As required by 5 C.F.R. § 2635.502, I will not participate personally and substantially in any particular matter involving any of the following entities as specific parties, or in which they represent a party, until after the date specified below, unless I first inform the ethics lawyers in OGC of the appearance problem and receive the appropriate authorization to participate in advance:

NAME OF ENTITY	DATE WHEN RECUSAL ENDS
New Partners for Community Revitalization, Inc.	May 29, 2011
New York City Environmental Justice Alliance, Inc.	May 29, 2011
Pratt Institute	May 29, 2011
UPROSE, Inc.	May 29, 2011
Allegiance Resources, Inc.	Continues for length of EPA employment

Recusals from specific matters

Given my prior participation in the following matters, I will not participate personally and substantially in any of these while I serve at the US EPA:

Gowanus Canal, Brooklyn, NY(Pending NPL decisions)
Revolving Loan Fund Grants to New York City, NY
Revolving Loan Fund Grants to Nassau County, NY

Action to be followed

Matters covered by this recusal are to be referred to the Deputy Assistant Administrator. I ask that you take all appropriate steps to ensure that you are familiar with this recusal statement to ensure that I do not participate in any matter covered by this recusal statement.

cc: Patricia Hirsch, Designated Agency Ethics Official
Justina Fugh, Senior Counsel for Ethics



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

REGION 9

75 Hawthorne Street
San Francisco, CA 94105-3901

OFFICE OF THE REGIONAL ADMINISTRATOR

SUBJECT: Recusal

FROM: Alexis Strauss *Alexis Strauss* 12 July 2012
Acting Deputy Regional Administrator

TO: Jared Blumenfeld
Regional Administrator

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any other person whose interests are imputed to me unless I first obtain a written waiver, pursuant to § 208(b)(1), or qualify for a regulatory exemption, pursuant to § 208(b)(2). I understand that the interests of the following persons are imputed to me: my spouse, minor children, or any general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

To avoid even the appearance of a loss of impartiality, I have chosen to recuse myself from participating personally and substantially in any particular matter that would have a direct and predictable effect on the financial interests of TetraTech, where my husband is employed, even if he is not himself involved in the matter. My recusal covers not only particular matters involving specific parties in which TetraTech is or represents a party, but also particular matters of general applicability such as rulemakings, guidances, and policies that focus on the discrete and identifiable class in which TetraTech is included.

While I own certain municipal bonds, ethics counsel have reviewed these interests and advised me that it is unlikely my duties as Acting Deputy Regional Administrator will affect the ability or willingness of the bond issuers to repay its debt obligations. However, to avoid even the appearance of a loss of impartiality, I have chosen to recuse myself from participating personally and substantially in the following specific party matters: the California Science Center; flood control issues in the Sacramento area; and all matters involving the Modesto Irrigation District.

Matters covered by these recusals are to be referred to you without my participation. If you believe there is a matter pending in my area of responsibility that may be subject to this recusal statement, please consult with Nancy Marvel, the Deputy Ethics Official within the Office of Regional Counsel, or Region IX's Ethics Attorney, Steven Jawgiel. They will ensure I do not participate in such matters inadvertently. This recusal list may be amended in the future, if appropriate.



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION IX
75 Hawthorne Street
San Francisco, CA 94105

MEMORANDUM

SUBJECT: Recusal

FROM:

Alexis Strauss
Alexis Strauss

Acting Regional Administrator

21 June 2016

TO:

Deborah Jordan

Acting Deputy Regional Administrator/Acting Deputy Ethics Official

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that will have a direct and predictable effect on my financial interests or those of any other person whose interests are imputed to me unless I first obtain a written waiver, pursuant to 18 U.S.C. § 208 (b)(1), or qualify for regulatory exemption, pursuant to 18 U.S.C. § 208 (b)(2). I understand the interests of the following persons are imputed to me: my spouse, minor children, or any general partner; any organization in which I serve as an officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

I hold fifty percent ownership interest commercial property located at (b) (6) Gardena, California. To avoid even the appearance of a loss of impartiality related to my duties as Acting Regional Administrator, I am recusing myself from participating personally and substantially in any particular matter that will have a direct and predictable financial effect on my financial interests in the above-referenced property. My recusal covers specific party matters and particular matters of general applicability such as rulemakings, guidance, and policies that focus on the discrete and identifiable class in which my commercial property located in Gardena, California.

Matters covered by this recusal shall be referred to you as the Acting Deputy Regional Administrator and Deputy Ethics Official without my participation. If you believe there is a matter pending in my area of responsibility that may be subject to this recusal statement, please consult Sylvia Quast, the Deputy Ethics Official within the Office of Regional Counsel, or Region 9's Ethics Attorney, Steven Jawgiel. They will ensure I do not participate in such matters inadvertently. This recusal may be amended in the future, if appropriate.

cc:

Sylvia Quast, Regional Counsel, Region 9
Justina Fugh, Senior Counsel for Ethics
Steven Jawgiel, Ethics Attorney, Region 9



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY

REGION 9

75 Hawthorne Street
San Francisco, CA 94105-3901

OFFICE OF THE
REGIONAL ADMINISTRATOR

MEMORANDUM

SUBJECT: Recusal

FROM: *Alexis Strauss*
Alexis Strauss
Deputy Regional Administrator
Region IX
14 Nov. 2014

TO: Jared Blumenfeld
Regional Administrator
Region IX

As required by 18 U.S.C. § 208(a), I will not participate personally and substantially in any particular matter that has a direct and predictable effect on my financial interests or those of any other person whose interests are imputed to me unless I first obtain a written waiver, pursuant to § 208(b)(1), or qualify for a regulatory exemption, pursuant to § 208(b)(2). I understand the interests of the following persons are imputed to me: my spouse, minor children, or any general partner; any organization in which I serve as officer, director, trustee, general partner or employee; and any person or organization with which I am negotiating or have an arrangement concerning prospective employment.

To avoid even the appearance of a loss of impartiality, I have chosen to recuse myself from participating personally and substantially in any particular matter that would have a direct and predictable effect on the financial interests of TetraTech, where my husband is employed, even if he is not himself involved in the matter. My recusal covers not only particular matters involving specific parties in which TetraTech is or represents a party, but also particular matters of general applicability such as rulemakings, guidance, and policies that focus on the discrete and identifiable class in which TetraTech is included.

While I own certain municipal bonds, ethics counsel have reviewed these interests and advised me that it is unlikely my duties as Deputy Regional Administrator will affect the ability or willingness of the bond issuers to repay its debt obligations. However, to avoid even the appearance of a loss of impartiality, I have chosen to recuse myself from participating personally and substantially in the following specific party matters: wastewater issues in the Yuba City area; flood control issues in the Sacramento area; and all matters involving the Modesto Irrigation District.

Matters covered by these recusals are to be referred to the Regional Administrator without my participation. If you believe that there is a matter that is pending in my area of responsibility that may be subject to this recusal statement, then please consult with Sylvia Quast, the Deputy Ethics Official within the Office of Regional Counsel, or Region IX's Ethics Attorney, Steven Jawgiel. They will ensure that I do not participate in such matters inadvertently. This recusal list may be amended in the future, if appropriate.

In consultation with OGC and the Regional Counsel, I will revise and update this memorandum whenever is warranted by changed circumstances, including changes in my financial interests, my personal or business relationships, or the nature of my official duties.

cc: Sylvia Quast, Regional Counsel, Region IX
Justina Fugh, Senior Counsel for Ethics
Steven L. Jawgiel, Ethics Attorney, Region IX

Fugh, Justina

From: Zarba, Christopher
Sent: Monday, September 08, 2014 4:13 PM
To: KeyesFleming, Gwendolyn; Feldt, Lisa; Reeder, John; AO SAB EVERYONE; Fort, Daniel; Fugh, Justina; Allen, David T; David Dzombak; Trovato, Ramona; Briskin, Jeanne; Kavlock, Robert; Kadeli, Lek; Frithsen, Jeff
Subject: Recusal on Hydraulic Fracturing Activities

Effective today I am recusing myself from all Science Advisory Board and all Agency activities related to hydraulic fracturing and natural gas production. Tom Brennan, the Science Advisory Board Deputy Director will immediately assume SAB management responsibilities in these areas. All correspondence, questions, inquiries etc on these topics that would normally be directed to me, should be directed to Tom Brennan.

Thank you for your attention to this matter.

Christopher S. Zarba

US EPA Science Advisory Board
zarba.christopher@epa.gov
O (202) 564-0760
C (202) 731-6423



UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
WASHINGTON, D.C. 20460

OCT 9 2014

MEMORANDUM

SUBJECT: Recusal on Issues Related to Rice Energy and Hydraulic Fracturing

FROM: Christopher S. Zarba, Director
Science Advisory Board

TO: Gwendolyn Keyes-Fleming, Chief of Staff
John Reeder, Deputy Chief of Staff

A handwritten signature in black ink, appearing to be "CS Zarba", written over the "FROM:" line.

This memorandum confirms that I am recused from participating personally and substantially in any particular matter that would have a direct and predictable effect on the financial interests of Rice Energy. The federal ethics regulations at 5 C.F.R. § 2635.502 dictate that I recuse from any particular matter involving specific parties that is likely to have a direct and predictable effect on the financial interest of a member of my household, or if I know that a person with whom I have a covered relationship is or represents a party to such matter, and the circumstances would cause a reasonable person with knowledge of the relevant facts to question my impartiality in the matter. I have recused myself from participating in any specific party matter involving this company unless I first have informed the Office of General Counsel/Ethics of the appearance problem and receive authorization from OGC to proceed.

In addition, as a prudential matter, I am recusing myself from any particular matter of general applicability that will have a direct and predictable effect on any discrete and identifiable class of persons affected by hydraulic fracturing. I will not participate in any particular matter of general applicability affecting hydraulic fracturing unless I have first consulted with and obtained advice from the Office of General Counsel/Ethics

Matters covered by this recusal are to be referred to Thomas Brennan without my participation. If you believe that there is a matter that is pending in my area of responsibility that may be subject to this recusal statement, then please consult with Mr. Brennan. He will ensure that I do not participate in such matters inadvertently. This recusal list may be amended in the future, if appropriate.

cc: Lisa Feldt, AO
Lek Kadeli, ORD
Robert Kavlock, ORD
Thomas Brennan, SAB
Wanda Bright, SAB
Justina Fugh, OGC